

*Welcome to the  
Community Programs  
EAP Fall Training Series*

*Monitoring  
Monday, September 12, 2016*

# Engaging Solutions

## EAP Monitoring

Common Findings and Concerns

Best Practices

Ask the Monitors



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# AGENDA

- Overview
- Monitoring Process Changes
- Common Findings and Concerns
  - Income Calculation
  - Application Errors
  - Intake Errors
  - Missing Documentation
- Summary: Considerations for Findings and Concerns
- Common EAP Manager Interview Questions
- Continuous Improvement: Best Practice Recommendations
- Ask the Monitors

# *Overview*

Number of Agencies Monitored to Date

- Types of Findings and Concerns – Categorized
  - Income Calculation
  - Application Errors
  - Intake Errors
  - Missing Documentation

CY2016 YTD Statewide Average File Error Rate is 10.83%

# Monitoring Process Changes

- Final Report structure modified for easier review
- Increased Graphs and visual aides of data
- Increased Statistical Information
- Reviewing Remotely/Desktop Monitoring
- Convenience of Combined Monitoring



**Q:**

***What is being reviewed  
during the fiscal portion  
of the monitoring?***

# Fiscal Monitoring

## Key Items for review:

- Fiscal Policy & Procedures
- Cost Allocation Plan
- Fixed Asset Purchases & Inventory
- Procurement & Disposition Procedures
- Review of the most recent Single Audit
- Review results of prior EAP Review
- EAP Budget
- Review Claims for Expense Reimbursement & Allowability



**Q:**

***What are common  
Income Calculation  
Concerns?***



# Eligible Income

Examples of monitoring findings for review of Continuous Improvement:

- Income included more than 12 months
- Wrong years of income was included in the calculation (example: 2012 used data)
- (2) months of a quarter's income was used in the income calculation when only 1 month is to be counted.
- If documents from the current tax year cannot be provided, then the Zero Income Affidavit should be used to self-declare income

# Annualizing/Year-to-Date

Examples of monitoring findings for review of Continuous Improvement:

- The paystub year-to-date was annualized when the client had not been working at their current job for 12 months.
- The paystub year-to-date was not used as the total income.

# Missing Income

Examples of monitoring findings for review of Continuous Improvement:

- One month of fourth quarter was not included in the calculation.
- The year-to-date on the paystub was used as total income when the value did not cover the 12 months of employment.
- Client's unemployment income was not included in the calculation.
- Client's self-declared income was not included in the calculation.



**Q:**

***What are common  
Application/Intake  
Errors?***

# Redaction

Examples of monitoring findings for review of Continuous Improvement:

- The account number on the utility bills are blacked out when they should not be.
- All digits on the client's social security card are blacked out.
- The first five digits of the Social security numbers are not blacked out.
- A document in the scanned file is missing redaction.

# Quality Assurance

Examples of monitoring findings for review of Continuous Improvement:

- The application was not checked for quality within 45 days.
- A mail-in application was not processed within 60 days.
- Agency Quality Assurance Percentage is lower than 30%.

# RIAA Information

Examples of monitoring findings for review of Continuous Improvement:

- The incorrect apartment number was entered into RIAA.
- The client's address is incorrect in RIAA.
- The household member on the written application is not entered in RIAA.
- The Heating utility account number is entered incorrectly in RIAA.
- Incorrect heating vendor listed on the utility tab in RIAA.

# Supporting Documents

Examples of monitoring findings for review of Continuous Improvement:

- The client's address is not listed on the scanned lease.
- The client's wood voucher is not completed.
- The lease is not signed by the client.
- The lease is not signed by the tenant and landlord.





# ***Summary:***

***Considerations for  
common Findings and  
Concerns***

# Income Calculation Errors

- Paystubs
  - Verify the client has been working for the employer for the prior 12 months.
  - Can use paystubs from multiple jobs within prior 12 months.
    - If all paystubs do not cover 12 months, request a DWD wage inquiry.
- Social Security Award Letters
  - The award must be within the current program year.

# Application Errors

The following are items to be aware of to reduce Application Errors:

- Home Owner Credit
- Crisis Benefit
- Utilities included in rent
- All client information is accurate
- All documents are complete

# Common Intake Errors

- Redacting Social Security Numbers
  - All instances of the social security number in the scanned file must have the first five digits redacted.
- Transposing Client Information to RIAA
  - Verify information entered in RIAA matches supporting documentation.
    - Account numbers
    - Social Security Numbers
    - Addresses, etc.
- Supporting Documents
  - Verify documents are complete.
  - Verify all needed documents are in the scanned file.
    - Vouchers
    - Receipts

# Missing Documentation

- File was not scanned in to RIAA
- The wrong File was uploaded into RIAA



**Q:**

***What types of questions are covered during the EAP Manager Interview?***

# EAP Manager Common Interview Questions

- How does the agency reach its vulnerable populations (outreach)?
- What is your after-hour/weekend protocol & inclement weather procedures?
- How long is your average in-office wait time before meeting the intake worker? How do you track this metric?
- How do you acquire customer feedback on their EAP experience?
- Has your agency completed at least 30% of the QA requirement for files? Within 45 days? What's the average time to QA a file?
- Do you know your average processing time ? (test)
  - Application Processing Time
  - Transmittal Processing Time
- How often do you check for claims that may need to be retracted and resubmitted due to a missing vendor MOU/MOA?



**Q:**

***What are some ideas for  
Continuous Improvement?***



# Best Practice Recommendations:

- Verify Social Security Numbers
  - Verify SSN for each household member age 1 and over
  - Mixed households allowed as of PY2016 (eligible and ineligible)
- Verify Utilities
  - Utilities must be in a household resident's name, age 18 and over
  - Service address must match the address on EAP Application
  - Confirm if the clients are in “crisis”

# Best Practice Recommendations:

## *(continued)*

- Verify Dwelling and Housing Status w/ Lease or Landlord Affidavit (and POA paperwork, if applicable)
  - Confirm housing type (apartment, duplex, house, mobile, etc.)
  - Confirm address on lease matches EAP Application
  - Verification that the client lives in subsidized or unsubsidized housing
- Complete Income Verification
  - Income is calculated for each resident age 18 and over.
  - Counted for 12 months.

# Best Practice Recommendations:

## *(continued)*

- Using the Note Section of RIAA – Documentation, Conversations, Pertinent Information, etc.
- QA documents scanned into RIAA – checklist recommended
- IHCD Policy clarification – Are RIAA documents to be scanned?
- Allowable and Allocable EAP Costs – become familiar with *Uniform Compliance Guidelines*

# Ask the Monitors

## Monitoring Questions?



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